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PATENT  
Attorney Docket No. 56351.000016

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

#1

In re Patent Application of : )  
Joseph G. GATTO ) Group Art Unit: *to be assigned*  
Serial No.: 09/775,599 ) Examiner: *to be assigned*  
Filed: February 5, 2001 )  
For: SECURITY ANALYST ESTIMATES PERFORMANCE VIEWING SYSTEM AND  
METHOD )

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

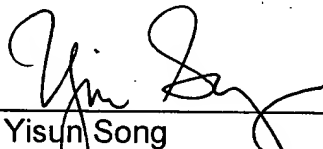
In accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicant respectfully submit the enclosed documents for the Examiner's consideration. A copy of Form PTO-1449 is also enclosed.

Applicant respectfully request that the Examiner consider the enclosed references and indicate that the references have been considered in this application by returning a copy of the Form PTO-1449 with the Examiner's initials in the left column per MPEP 609.

This Information Disclosure Statement is believed to be submitted before the mailing of a first Office Action. Accordingly, no fees are due. However, if any fees are incurred upon the filing of this Information Disclosure Statement, please charge the undersigned's Deposit Account No. 50-0206.

Respectfully submitted,

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**U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE**

ATTY. DOCKET  
NO.:

56351.000016

SERIAL NO.:

09/775,599

INVENTOR'S NAME:

Joseph GATTO

EXAMINER:

to be assigned

FILING DATE:

2/5/01

GROUP:

to be assigned

A circular stamp from the Patent &amp; Trademark Office. The text "PATENT &amp; TRADEMARK OFFICE" is written around the bottom half of the circle. In the center, the date "MAY 02 2001" is stamped. Above the date, the words "OIP" and "LIST OF" are handwritten. To the right of the date, the number "35147" is handwritten.

**LIST OF MATERIALS CITED BY APPLICANT**

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

[illegible]

## FOREIGN PATENT DOCUMENTS

[illegible]

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E	Financial Analysts Journal/Jan. - Feb. 1996 "Analyst Forecasting Errors and their Implications for Security Analysis: An Alternative Perspective"
F	The Journal of Portfolio Management "Analysts can Forecast Accuragely" Brown et al.
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D1	The CPA Journal May 1995
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G1	International Journal of Forecasting Vol. 7, No. 3 (1991) pp. 257-408
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N1	Journal of Business Finance & Accounting, Vol. 19, No. 4 June 1992
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Q1	The Journal of Finance, Vol. 46, No. 1 March 1991
R1	Accounting Horizons, Vol. 11, No. 4 December 1997
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	I2	<a href="http://my.zacks.com/?ALERT+www.zacks.com">http://my.zacks.com/?ALERT+www.zacks.com</a> (printed 2/2/01)
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EXAMINER		DATE CONSIDERED
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.</p>		

